DOCUMENT RESUME

ED 217 848 IR 010 212

AUTHOR Tallon, James
TITLE Library Specifications for a New Circulation System for Concordia University Libraries.
PUB DATE 14 Aug 81
NOTE 17p.

EDRS PRICE MF01/PC01 Plus Postage.
DESCRIPTORS Academic Libraries; Foreign Countries; Higher Education; *Library Circulation; Library Services; *Online Systems; Program Implementation; *Specifications
IDENTIFIERS *Canada; Concordia University PQ; Library Users

ABSTRACT

This study of library requirements for a new circulation system is organized into three sections: (1) items required for initial implementation in July 1982; (2) items relating to notice generation and activity statistics, with implementation expected by fall 1982; and (3) items provided in the system as initially implemented, with additional programming required. Items in the first section include borrower information, conversion process, borrower information requirements, reserves, fines, requests, internal borrowers, CMF/item file, table governing routine procedures with online read and write access, and form of information display. Items in the fall 1982 implementation section are listed under fines, requests, internal borrowers, and additional requirements. The final section lists items under borrower information, reserves, internal borrowers, general system requirements, and additional requirements. (RBF)

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LIBRARY SPECIFICATIONS FOR A NEW CIRCULATION SYSTEM FOR CONCORDIA UNIVERSITY LIBRARIES

Prepared by:

James Tallon

Computer Assisted Reader Services Coordinator

August 14,1981

IR010212

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CIRCULATION SYSTEM:
LIBRARY SPECIFICATIONS

This document presents general Library requirements for the new circulation system. It is assumed throughout that features and information in the present system will be retained in the new system, unless incompatible with or made redundant by items listed herein.

The document is divided into three sections, items listed in Part A are required for initial implementation in July 1982. Items listed in Part B relate to notice generation and activity statistics, with implementation expected by Fall 1982. Items in Part C should be provided for in the system as initially implemented, with additional programming required to be undertaken (after Fall 1982) according to the priorities assigned herein and a schedule to be determined by the Library and the Computer Center.

A. JULY 1982 IMPLEMENTATIONS

BORROWER INFORMATION

* The system will be programmed with full requirements, as stated below, for either transfer of information, to borrower file from Payroll and Registrar's records, or Library registration of some or all borrowers.

1. BORROWER RECORD CREATION, DELETION AND UPDATE

Facility for online creation, deletion, and update of records

Automatic purge of patron records one year after expiry date

Facility to transfer all information available and required from Registrar's and Personnel records to Library records

2. CONVERSION PROCESS

Corrections and additions made by the Library to the borrower file should be retained when a new tape from the Registrar or Payroll is input (address on tape should be available for future Library use if the Library has previously entered an address into the patron record).

3. BORROWER INQUIRY

Ability to search by borrower's number

Choice of two displays: borrower, and loans information

4. BORROWER INFORMATION REQUIREMENTS

* Additional to information available in the present system. All elements required for display on borrower inquiry.

* Supervisor password required to modify borrower information.

1. Full borrower name (no initials)
2. ID Number
3. Borrower number. If different from ID Number
4. Telephone number
5. University address
6. University phone number
7. Mailing selection code (University or local address)
8. CREPUQ borrowers - institution
9. Extramural borrowers - category
10. Borrower status (faculty, administration, etc.)
11. Expiry date
12. Expected date of graduation
13. Department
14. Delinquent status - reasons
15. Note field
16. Number of items on loan
17. Item information
    - book number
    - call number
    - location
    - date due
    - date borrowed
18. Total fines owing (with breakdown by library. A fine is owed to the library owning the item concerned).

5. Provision for the introduction of bar code labels for borrowers

6. Facility to notify operator on loan transaction that address on file is incorrect

   * As determined by circulation staff from notices returned

7. Block loan if ID not on file

8. Block loan transaction if borrower's privileges have expired

RESERVES

1. DISPLAY FOR RESERVE ITEMS

   a. "Temporary Reserve" or "Permanent Reserve" item.

   b. Location (e.g. SEL book on reserve at Drummond)

   c. Loan period

2. The facility to enter flexible loan periods from one hour onwards (e.g. 1 hour, 2 day, etc.)

   * The facility to handle overnight reserve loans (due 9 AM the next day that a library is open) is also desirable. This could be accomplished by allowing the operator to override the loan period assigned to a reserve item and set a date and time due.

3. Ability to process hourly (1 hour, 3 hour, etc.) loans (calculate time due, fines, produce fine notices)

   * Hourly loans should be rounded out to the next hour, e.g. a three hour loan item borrowed at 2:02 would be due at 6:00.

   * An operation similar to dated discharge is required to "back-hour" discharge when necessary.

   * Two fine structures for reserves (hourly and daily) are required by the present loans policy.

4. Ability to create and delete temporary records for personal faculty materials on reserve.

5. Block temporary or permanent reserves loan transactions if number of reserve loans over temporary or permanent reserves loan limit.

FINES

1. INPUT

   Accept partial payments

   * This refers to partial payment of the total bill

   Accept discharge of full or partial fine without payment or with payment of adjusted amount

   * Supervisory mode

2. PROCESSING (COMPUTER)

   Calculate amount owing upon discharge of overdue item and add to total

   * Bill totals for lost items will be input manually

   Calculate balance owing (partial payment)

   Change status of borrower to delinquent when fines reach a minimum level

   Change status to normal when fines reduced below minimum level

   * Manual override required on this and previous item

   * "Minimum level" will be according to total fines owing all libraries

   * Adding a borrower to, or deleting him/her from delinquent category because of loss of privileges, lost ID or incorrect address, should be independent of delinquent status in virtue of fines.

3. The system should calculate fines without later producing fines notices if the patron wishes to pay the fines when returning items.

REQUESTS

1. Accept single copy and all copy requests/request deletes (As per Richard Noble's Aug. 3 document, p.2)

2. Automatically delete request from all copies if one copy loaned to requestor or on hold shelf

3. Accept date for expiry of request. Cancel requests after expiry date.

   * Default period for expiry of requests should be 6 months.

4. Shorten loan period when there are more than n requests on an item

   * This is required only for normal (non-reserve) loans. The present loans policy requires a loan period of seven days (all borrowers) for items with three requests, and three days for items with four or more requests.

   * Loan period should return to normal when only one request remains on item.

5. Notify operator of shortened loan periods and reason during loan transaction

6. Notify operator at discharge of request on item. Include call number of item, borrower name and ID number, and library at which item is requested. [number of requests] [Feb.2, 1982].

   * This should be accompanied by an audible signal

7. Display expiry date of request and library at which requested, on item number/call number inquiry

INTERNAL BORROWERS

a. General

   1. System should display name of internal borrower on item number/call number inquiries

      * Online display of all items on loan to a borrower is not required for internal borrowers, however it should be possible to produce a list on demand

b. Binding
   Processing (Shuchat)
   Mending (NOR/VAN/DRU/SEL)
   Cataloguing
   CMF
   Serials
   ILL

   * All indefinite loan period except ILL (undergraduate loan period).

c. Missing
   Lost
   Reordered
   Replaced
   Discarded

   * All indefinite loan period

   1. On discharge operator should be alerted if item in these categories has been recatalogued (include new call number)

* manual set and turn off.

d. On hold shelves (NOR/VAN/DRU/SEL)

In transit (library sending and intended destination)

* Default loan period for on hold shelves and in transit ten days

* The statistics program required for in transit loans (Part C) requires separate statistics for items being sent out from a library's own collection and those being returned to another library. If this could be determined by the computer only three in transit categories are required per library; otherwise six categories per library are required.

CREPUQ - EXTRAMURAL BORROWER

1. Create and display individual borrower records for each CREPUQ and extramural borrower; include home institution or extramural borrower category

   * Default loan period - undergraduate

2. Quarterly, and annual cumulative, lists of CREPUQ delinquent borrowers (final notice) by institution

   * in addition to normal borrower notices

   * It is strongly recommended by the Library that this feature be included in the initial implementation of the system. Since CREPUQ borrowers will be integrated into the borrower file in the new system manual compilation of this essential information would become extremely difficult.

CARREL LOANS

Carrel loans should be made to the patron using a special loan type designation. The carrel number should be available in the borrower record (input by circulation staff), and should appear on recall (item requested) notices. Recall notices and the item list in the borrower file should show that the item is on carrel loan.

* Loan period one semester

* Only recall (item requested) notices should be generated, and these sent to Circulation.

CMF/ITEM FILE

1. Facility for online creation, deletion and update of records (online data entry, batch processing).

2. Conversion program should handle complex holdings, addition of second copies to records without copy numbers, location changes, "bound with" items.

3. Facility to create skeleton records at point of circulation. These may be "temporary" (circulation one time) or semi-permanent.

   * The Library strongly recommends that skeleton records appear in the call number file when the system is initially implemented

   * We should be able to produce a listing (on demand) by call number of all skeleton records in the file

4. Facility for the creation of special records for the circulation of parts of items (nonprint kits, microform collections) with one call number.

   * A description of the part would be entered in the note field and appear on notices generated

   * These records would not appear in the call number file

ITEM INQUIRY/CALL NUMBER INQUIRY:
ADDITIONAL DISPLAY ELEMENTS

1. Date due

2. CATSS RSN

3. Concordia record sequence number

4. Fill title

5. Note

* Note could be used to indicate recatalogued item, and its new call number. It could also be used to circulate microfiche items by indicating reel, fiche, document, report, etc. number

CALL NUMBER ENQUIRY

1. Display

   Indication that additional items matching call number inquiry are available.

   Browsing facility (display nth item in set created, next 5, previous 5 items)

A shortened display on call number inquiries; full display on item number inquiries.

* Short display should include: call number, item number, library, sub location (reserve, storage, etc), 'on shelf' or date due, author and truncated title.

TABLE GOVERNING ROUTINE PROCEDURES WITH ONLINE READ AND WRITE ACCESS

* Security required (limit to one or two supervisors)

1. Calendar of days Library is closed (NOR/VAN/SEL/DRU)

2. Fines policy according to period overdue (normal and two reserve, daily and hourly, fine structures)

3. Loans policy (default loan periods)

   Request thresholds and shortened loan periods

   Maximum number of loans, reserve loans (temporary and permanent) permitted

4. Purchase alert threshold

5. Threshold for delinquent borrower status

6. List of CREPUQ institutions, extramural borrower categories, and codes

7. Notices

   Date of faculty recall

   Number of days after due date overdue notice is sent

   Number of days after due date bill notice is sent

   Minimum fine threshold for sending of fines notices

   Minimum and maximum loan periods for determining recall due date

8. Report Generation

   LC categories breakdown and formula for annual statistics

GENERAL SYSTEM REQUIREMENTS

1. Presentation of menu of functions and keys for function selection.

2. Provision for introduction of bar code labels for items

3. BACKUP

   No loss of information entered if breakdown of central or micros

   Continuation of major functions if breakdown of central or micros

4. FORM OF INFORMATION DISPLAY

   CRT's in block mode. Operator is presented with full screen display for each transaction type. Cursor indicates information required in appropriate locations.

   * Seen as most important for creating, editing records

   Ability to have hard copy output of selected transactions

   * The Library feels that it is highly desirable that a printer terminal be used for discharging items. If this is not possible hard copy of notification sent at discharge (requests, call number change, item not charged out) is essential.

5. Facility to leave a message in the system which is displayed when an item is loaned to the patron, e.g. a requested item on hold.

6. Identification of transactions with terminal used

7. Identification of transactions with operator

8. Program should permit expansion of the number of terminals on the system to at least fifty terminals.

   It is our understanding that the hardware being installed can handle up to thirty-six terminals with minor additions; and that further expansion could be accomplished by adding an additional microcomputer.

9. All data in the present system should be automatically transferred to the new system prior to implementation.

   * Delinquent borrowers and fines information will be input manually.

ADDITIONAL REQUIREMENTS

1. Block loans transactions if number of loans over maximum limit

   * Limit should be by borrower type

2. Notify operator during discharge operation if item belongs to a location other than that doing the discharge

3. Block renewal transaction if there is a request on item

   * It would be necessary for system to override block if renewal is put through when central computer is down.

   * This would eliminate need in present system to change loan period when notified of a request

4. Automatic discharge of item in renewal transaction

   * This would ensure calculation of fine and generation of notices

B. FALL 1982 IMPLEMENTATIONS

* Notices should continue to be sent to the library owning the item concerned.

* Bill notices should be sorted by call number. Other notices (recall, overdue, fines, on hold) should be sorted by borrower name.

FINES

1. List outstanding fine and bill total on each borrower notice generated — Priority 2

2. Permit inclusion of a service charge on fines notices. — Priority 1

3. Generate weekly list of total fines received (daily by location) and amounts excused — Priority 1

REQUESTS

1. Produce "recall notices" for requested items not on loan and send to circulation department of holding library. — Priority 1

   * The size and format of these notices should be different from recall notices sent to borrowers.

2. Supress recall notices for items due within seven days of time of production. — Priority 1

3. Batch transaction for releasing a set of recalls for distribution. — Priority 1

   * Present facility for releasing individual items should also be retained.

   * New due date calculated should assure minimum two week guaranteed loan period

4. Generate borrower "item available" notice automatically when a requested item is charged to on hold shelf. — Priority 1

   * Notice should specify location where item is held and expiry date of hold (based on loan period for on hold shelf)

INTERNAL BORROWERS

* The only notices required for internal borrowers are recall notices for: Processing, Mending, Cataloguing, CMF and Serials; and overdue notices for in transit loans.

a. General

1. Exclude all categories except ILL from circulation activity statistics	Priority 3
2. Separate monthly activity statistics for each category of internal borrower	Priority 3

b. In transit

Overdue notices should be produced immediately after the item becomes overdue and should continue if and when the Library decides to discontinue sending overdue notices to students, staff and faculty.	Priority 1

ADDITIONAL REQUIREMENTS

1. Circulation activity statistics should be produced for each hour, with daily and monthly totals.	Priority 1
2. Notices should be addressed to patron's university or home address according to mailing selection code (default-home address).	Priority 1

C. FUTURE IMPLEMENTATION

BORROWER INFORMATION

1. BORROWER RECORD CORRECTION, DELETION, AND UPDATE

   Online access to a list of CREPUQ institutions, extramural borrower categories, and associated mnemonic codes while creating patron records. Priority 1

2. BORROWER INQUIRY

   Ability to search by borrower name Priority 1

3. Bar code labels for borrower cards Priority 2

4. Produce weekly list of delinquent borrowers Priority 1

5. Generate weekly list of items with over n requests (by call number) Priority 1

   * Purchase, reserves alert

RESERVES

1. Lists of materials on reserve by course and by professor Priority 2

   * Author, title and call number lists of reserve materials would also be desirable. Production on fiche should be investigated.

   * Separate lists for each library of items on reserve at that library.

   * Course number requires twelve characters, e.g. ANTH C211/AA

   * It should be possible for an item to appear on listings for a minimum of three courses.

   At least one (preferably up to three) instructor names are required per course.

2. Separate activity statistics for circulation of reserve materials Priority 1

3. Quarterly statistics on reserve materials circulated, by course number and item Priority 1

INTERNAL BORROWERS

a. General

1. Exclude all categories except ILL from annual book budget statistics	Priority 2

b. Binding, etc.

1. ILL statistics by name of borrowing institution	Priority 3

c. Missing, lost, reordered, replaced, discarded

1. Weekly list of items in these categories returned (discharged)	Priority 1
2. Weekly list of items charged to these categories since last report	Priority 1

d. In transit, on hold shelves

1. Monthly in transit activity statistics by sending library, whether sending out or returning, and destination	Priority 3
2. Item discharged at another location automatically charged to In Transit. Item discharged at another location and requested at that location charged to appropriate on hold shelf.	Pirority 3
3. Item requested at discharge location charged to its on hold shelf. Requested at another location charged to "in transit"	Priority 3

CREPUQ - EXTRAMURAL BORROWERS

1. Annual loan activity statistics for CREPUQ (by institution) and extramural (by category) borrowers	Priority 3

CMF/ITEM FILE

1. Programs required for database cleaning (to be determined)	Priority 1
2. Facility for creation of records for circulating serials	Priority 1

GENERAL SYSTEM REQUIREMENTS

1.	Online instruction	Priority 3
2.	Bar code labels for items	Priority 2
3.	Electronic mail facility	
	Interlibrary messages (e.g. ICD requests)	Priority 1
	All stations notification (e.g. exchange rate)	Priority 2

ADDITIONAL REQUIREMENTS

1.	Generate notices for potential graduates informing them that fines will be transferred to University etc.	Priority 1
	* This could be accomplished by manually inputting the ID numbers received from the Registrar. If the Library registers borrowers it could also be done using an expected graduation date in record.	
2.	Book budget statistics should be by call number. These should be based on a flexible breakdown of call number ranges and further processed to combine these categories into totals by department (according to a Library-produced formula).	Priority 1
3.	Breakdown of book budget statistics by category of user (faculty, graduate, undergraduate)	Priority 3
4.	Produce book budget statistics (by call number ranges) for requests	Priority 3
5.	Produce list of items that have not circulated more than x times in last 3 years (on demand)	Priority 2
	* For weeding collection	
6.	Inventory control program (automatic production of a list of missing items in a class based on numbers entered for items on shelf).	Priority 2